

PCT/EP2003/007877

## PATENT COOPERATION TREATY



Translation

## PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 0000053790	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/EP2003/007877	International filing date (day/month/year) 18 July 2003 (18.07.2003)	Priority date (day/month/year) 26 July 2002 (26.07.2002)
International Patent Classification (IPC) or national classification and IPC C12N 15/82, 9/12, 15/54, 15/11, A01H 5/00		
Applicant BASF PLANT SCIENCE GMBH		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 6 sheets, including this cover sheet.

☒ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 4 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☒ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 20 December 2003 (20.12.2003)	Date of completion of this report 05 July 2004 (05.07.2004)
Name and mailing address of the IPEA/EP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

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## I. Basis of the report

## 1. With regard to the elements of the international application:\*

☐ the international application as originally filed☒ the description:pages 1-91, as originally filed

pages \_\_\_\_\_, filed with the demand

pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

☒ the claims:

pages \_\_\_\_\_, as originally filed

pages \_\_\_\_\_, as amended (together with any statement under Article 19

pages \_\_\_\_\_, filed with the demand

pages 1-20, filed with the letter of 04 December 2003 (04.12.2003)☒ the drawings:pages 1/11-11/11, as originally filed

pages \_\_\_\_\_, filed with the demand

pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

☒ the sequence listing part of the description:pages 1-90, as originally filed

pages \_\_\_\_\_, filed with the demand

pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.  
These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).☐ the language of publication of the international application (under Rule 48.3(b)).☐ the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

## 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.☐ filed together with the international application in computer readable form.☐ furnished subsequently to this Authority in written form.☐ furnished subsequently to this Authority in computer readable form.☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.4. ☐ The amendments have resulted in the cancellation of:☐ the description, pages \_\_\_\_\_☐ the claims, Nos. \_\_\_\_\_☐ the drawings, sheets/fig. \_\_\_\_\_5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

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## III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

1. The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

☐ the entire international application.

☒ claims Nos. 13-20

because:

☐ the said international application, or the said claims Nos. \_\_\_\_\_  
relate to the following subject matter which does not require an international preliminary examination (*specify*):

☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. \_\_\_\_\_  
are so unclear that no meaningful opinion could be formed (*specify*):

☐ the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported  
by the description that no meaningful opinion could be formed.

☒ no international search report has been established for said claims Nos. 13-20

2. A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions:

☐ the written form has not been furnished or does not comply with the standard.

☐ the computer readable form has not been furnished or does not comply with the standard.

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## V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

## 1. Statement

Novelty (N)	Claims	1-12	YES
	Claims		NO
Inventive step (IS)	Claims	1-12	YES
	Claims		NO
Industrial applicability (IA)	Claims	1-12	YES
	Claims		NO

## 2. Citations and explanations

See supplemental sheet.

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## Supplemental Box

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Boxes III and V

1. The amended claims submitted with the letter of 4 December 2003 are formally admissible.

However, it is noted that the international search report is based on the claims as originally filed, since the PCT makes no provision for amendment of the claims during the course of the search. It is therefore not possible to carry out an international preliminary examination for the subject matter of claims 13 to 20 as these claims were not searched.

2. Document D1 (Gleave et al.) discloses the transformation of plant cells containing two marker genes (*nptII* and *codA*) with a T-DNA that contains the *cre* and *hpt* genes. In transformed cells the *nptII* and *codA* genes are excised so that 5-fc can be used to select transformed cells.

Document D2 (Corneille et al.) also describes the elimination of the *codA* marker gene by excision after transformation with *cre*.

Document D3 (Risseuw et al.) describes a method for producing transformed plants in which an existing marker gene (*codA*) is replaced with another marker gene (kanamycin resistance).

None of these documents (D1 to D3) disclose a method for producing transformed plants involving transformation with a nucleic acid sequence inserted together with a double-stranded marker protein

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Continuation of: Boxes III and V

ribonucleic acid sequence or an expression cassette for ensuring the expression thereof.

3. The aim of the experiments disclosed in D1 and D2 was to produce transformed plants without marker genes. A person skilled in the art would therefore have had no reason to modify the genetic constructs disclosed in D1 or D2 to make them correspond to the constructs described in claim 1 (in particular by inserting a nucleic acid sequence in addition to the marker gene). The same applies to D3, in which the aim is to study homologous recombination.

4. The subject matter of claim 1 is unclear.

According to claim 1, plant cells which already contain a marker protein are transformed using an inserted nucleic acid sequence and a double-stranded ribonucleic acid sequence that codes for a marker protein (or an expression cassette).

Claim 1 refers twice to a "marker protein" which is not further characterised. It is not clear whether the two marker proteins are identical or not.